

|                          |  |
|--------------------------|--|
| <b>For Information</b>   |  |
| <b>Public/Non Public</b> | <b>Public</b>  |
| <b>Report to:</b>        | <b>Joint Audit and Scrutiny Panel (JASP)</b>         |
| <b>Date of Meeting:</b>  | <b>7<sup>th</sup> November 2018</b>                  |
| <b>Report of:</b>        | <b>Chief Constable</b>                               |
| <b>Report Author:</b>    | <b>Amanda Froggatt, Strategic Support Officer</b>    |
| <b>E-mail:</b>           | <b>amanda.froggatt@nottinghamshire.pnn.police.uk</b> |
| <b>Other Contacts:</b>   | <b>N/A</b>   |
| <b>Agenda Item:</b>      | <b>6</b>   |

## **Audit and Inspection Update**

### **1. Purpose of the Report**

- 1.1 To provide the Joint Audit and Scrutiny Panel (JASP) with an update on progress against recommendations arising from audits and inspections which have taken place during Quarter 2, 2018/19.
- 1.2 To inform the Board of the schedule of planned audits and inspections.
- 1.3 To provide further information on the area identified for further scrutiny as requested at the last JASP (Appendix 2 – Nottinghamshire Police’s Approach to tackling Domestic Abuse).

### **2. Recommendations**

- 2.1 It is recommended that the Panel notes the status of audits and inspections carried out over the last quarter.
- 2.2 That the Panel review Appendix 1 and if required request further detail which will be reported at the next meeting.

### **3. Reasons for Recommendations**

- 3.1 To enable the Panel to fulfil its scrutiny obligations with regard to Nottinghamshire Police and its response to audits and inspections.
- 3.2 To provide the Panel with greater scrutiny opportunities and to reach more informed decisions.
- 3.3 To provide the Panel with the opportunity to shape the focus and data inputs for future HMICFRS inspections.

## 4. Summary of Key Points

### Audit and Inspection Action Updates

- 4.1 The actions referred to in this report are the result of recommendations made by Nottinghamshire Police's internal auditors and external inspectorates, including HMICFRS.
- 4.2 There are currently 0 actions which have exceeded its target date. There are 100 actions showing as 'at risk' of being off target i.e. they will exceed their target date in the next month.
- 4.3 There were 70 actions closed during this quarter.
- 4.4 Recent and forthcoming Inspections.

### Recent Inspection Activity

| Date of Inspection | Inspection Area                     | Date Report Received | Final Grading | Status  |
|--------------------|-------------------------------------|----------------------|---------------|---|
| July 2018          | Serious and Organised Insight Visit | -                    | -             | Will be incorporated into Integrated PEEL Inspection report |
| September 2018     | Integrated PEEL Inspection          | -                    | -             | Inspection undertaken                                       |

### Forthcoming HMICFRS Inspections

| Date of Inspection | Inspection Area                | Status                 |
|--------------------|--------------------------------|------------------------|
| October 2018       | Unannounced Custody Inspection | Currently taking place |
| December 2018      | Counter Terrorism              | N/A                    |
| April – June 2019  | Cyber-Dependent Crime          | N/A                    |

### Publications

| Date of Publication | Inspection Area        | Status                    |
|---------------------|------------------------|---------------------------|
| July 2018           | Older Children Neglect | Out for Management Action |

## 4.5 Recent and Forthcoming Audits

### Recent Audit Activity

| <b>Date of Audit</b> | <b>Auditable Area</b>  | <b>Date Report Received</b> | <b>Final Grading</b>   | <b>Status</b>                                   |
|----------------------|--|-----------------------------|------------------------|---|
| May 2018             | Collaboration - Review of Collaboration Assurance Statements   | May 2018                    | -                      | Report issued                                   |
| June 2018            | Contract Management of MFSS  | -                           | Limited Assurance      | Actions being monitored on 4Action              |
| June 2018            | Follow-up of Limited Assurance Reports <ul style="list-style-type: none"> <li>- Risk Management</li> <li>- Safety Camera</li> <li>- Data Protection</li> </ul> | July 2018                   | -                      | Report issued, actions updated on 4Action       |
| July 2018            | Collaboration – Strategic Financial Planning   | -                           | -                      | Report to be issued                             |
| August 2018          | Collaboration – Risk Management  | -                           | -                      | Delay in seeing EMOpSS                          |
| August 2018          | Code of Governance   | August 2018                 | Satisfactory Assurance | Draft report issued, out for management comment |
| September 2018       | Collaboration – Business Planning  | -                           | -                      | Report to be issued                             |
| September 2018       | Health and Safety  | -                           | -                      | Awaiting draft report                           |
| September 2018       | Commissioning  | -                           | -                      | Audit commenced 24 <sup>th</sup> September      |

## Forthcoming Audits

| Date of Audit          | Auditable Area                  | Status  |
|------------------------|---------------------------------|---|
| August 2018            | Collaboration – Risk Management | Delay due to EMOpSS   |
| Proposed October 2018  | GDPR                            | Audit not yet scheduled   |
| October 2018           | Firearms Licensing              | Terms of Reference agreed, audit will commence 16 <sup>th</sup> October |
| Proposed November 2018 | Core Financial Systems          | Audit to take place 26 <sup>th</sup> November                           |
| TBC                    | Seized Property                 | Audit deferred to Quarter 4   |
| TBC                    | Late Night Levy                 | Audit not yet scheduled   |
| Proposed March 2019    | IT Strategy                     | Audit deferred to Quarter 4   |
| Proposed March 2019    | Partnership Working             | Audit to take place 31 <sup>st</sup> March 2019                         |

## Overview of all ongoing actions from Audits & Inspections - Appendix 1

**Area Identified for further scrutiny** – Nottinghamshire Police’s Approach to tackling Domestic Abuse – See Appendix 2

### 5. Financial Implications and Budget Provision

5.1 If financial implications arise from recommendations raised from audits, inspections and reviews, these implications are considered accordingly. Where an action cannot be delivered within budget provision, approval will be sought through the appropriate means.

### 6. Human Resources Implications

6.1 There are no direct HR implications as a result of this report. HR implications resulting from specific actions will be managed on a case by case basis.

### 7. Equality Implications

7.1 There are no direct HR implications as a result of this report. HR implications resulting from specific actions will be managed on a case by case basis.

## **8. Risk Management**

- 8.1 Some current actions involve the completion of formal reviews of specific business areas. It is possible that some or all of these reviews will identify and evaluate significant risks, which will then be incorporated into the Force's risk management process.

## **9. Policy Implications and links to the Police and Crime Plan Priorities**

- 9.1 Any policy implications will be subject to current policy development process.

## **10. Changes in Legislation or other Legal Considerations**

- 10.1 There are no direct legal implications as a result of this report.

## **11. Details of outcome of consultation**

- 11.1 Following receipt of a final audit or inspection report a member of the Governance and Planning team consults with the appropriate Lead Officer and other stakeholders to plan appropriate actions in response to each relevant recommendation, or to agree a suitable closing comment where no action is deemed necessary.
- 11.2 All planned actions are added to the action planning system, 4Action, for management and review until completion.

## **12. Appendices**

- 12.1 Appendix 1 - Overview of all ongoing actions from Audits and Inspections
- 12.2 Appendix 2 – Nottinghamshire Police's Approach to tackling Domestic Abuse

## Appendix 1 - Overview of all ongoing actions from Audits and Inspections: September 2018

| Audit/Inspection | Source Title                               | Date           | Number of Actions | Number Open | Number Closed | Number on Target | Number At Risk | Number Overdue |
|------------------|--|----------------|-------------------|-------------|---------------|------------------|----------------|----------------|
| Audit-Mazars     | Implementation of DMS June 2016            | June 2016      | 6                 | 3           | 3             | 0                | 3              | 0              |
| Audit-Mazars     | Data Protection Act Compliance Oct 2016    | October 2016   | 14                | 2           | 12            | 0                | 2              | 0              |
| Audit-Mazars     | Procurement Follow up Nov 2016             | November 2016  | 9                 | 0           | 9             | 0                | 0              | 0              |
| Audit-Mazars     | Core Financials Systems Assurance Dec 2016 | December 2016  | 9                 | 1           | 8             | 0                | 1              | 0              |
| Audit-Mazars     | HR Recruitment and Selection               | January 2017   | 4                 | 3           | 1             | 0                | 3              | 0              |
| Audit-Mazars     | Data Quality 2016/17                       | May 2017       | 4                 | 2           | 2             | 0                | 2              | 0              |
| Audit-Mazars     | Risk Management                            | May 2017       | 7                 | 1           | 6             | 1                | 0              | 0              |
| Audit-Mazars     | Fleet Management                           | August 2017    | 6                 | 4           | 2             | 0                | 2              | 0              |
| Audit-Mazars     | Workforce Planning                         | September 2017 | 8                 | 1           | 7             | 0                | 1              | 0              |
| Audit-Mazars     | Social Value Impact                        | July 2016      | 4                 | 1           | 3             | 0                | 1              | 0              |
| Audit-Mazars     | Seized & Found Property                    | May 2017       | 11                | 9           | 2             | 0                | 9              | 0              |
| Audit-Mazars     | Counter Fraud Review                       | January 2018   | 24                | 6           | 18            | 0                | 6              | 0              |

## Appendix 1 - Overview of all ongoing actions from Audits and Inspections: September 2018

| Audit/Inspection | Source Title  | Date           | Number of Actions | Number Open | Number Closed | Number on Target | Number At Risk | Number Overdue |
|------------------|---|----------------|-------------------|-------------|---------------|------------------|----------------|----------------|
| Audit-Mazars     | Procurement Follow up Sept 2017   | September 2017 | 3                 | 1           | 2             | 0                | 1              | 0              |
| Audit-Mazars     | Core Financials Follow up July 2016   | October 2016   | 12                | 1           | 11            | 0                | 1              | 0              |
| Audit-Mazars     | EMCHRS Learning & Development Collaboration                                 | August 2017    | 5                 | 1           | 4             | 0                | 1              | 0              |
| Audit-Mazars     | Joint Code of Corporate Governance  | November 2015  | 2                 | 1           | 1             | 0                | 1              | 0              |
| Audit-Mazars     | Safety Camera Partnership   | September 2017 | 2                 | 1           | 1             | 0                | 1              | 0              |
| Audit-Mazars     | Commissioning - Community Safety  | May 2016       | 5                 | 1           | 4             | 0                | 1              | 0              |
| Audit-Mazars     | Implementation of Duty Management System– Follow Up                         | May 2018       | 5                 | 4           | 1             | 0                | 4              | 0              |
| Audit-Mazars     | MFSS Contract Management  | June 2018      | 4                 | 4           | 0             | 4                | 0              | 0              |
| Inspection-HMIC  | Nottinghamshire Police's approach to tackling Domestic Abuse (local report) | March 2014     | 13                | 1           | 12            | 0                | 1              | 0              |
| Inspection-HMIC  | Welfare of Vulnerable People in Custody                                     | March 2015     | 8                 | 1           | 7             | 0                | 1              | 0              |
| Inspection-HMIC  | Efficiency Nov 2016 'Hot De Brief' actions                                  | November 2016  | 31                | 1           | 30            | 0                | 1              | 0              |
| Inspection-HMIC  | Legitimacy 2016   | December 2016  | 10                | 1           | 9             | 0                | 1              | 0              |
| Inspection-HMIC  | Effectiveness 2016  | March 2017     | 10                | 2           | 8             | 0                | 2              | 0              |
| Inspection-HMIC  | Neighbourhood Strategy  | 2018           | 16                | 16          | 0             | 0                | 0              | 0              |
| Inspection-HMIC  | Efficiency, Legitimacy and Leadership Hot Debrief 2017                      | May 2017       | 9                 | 2           | 7             | 0                | 2              | 0              |
| Inspection-HMIC  | Making it Fair: Disclosure of unused material in volume Crown Court Cases   | July 2017      | 6                 | 4           | 2             | 0                | 4              | 0              |

## Appendix 1 - Overview of all ongoing actions from Audits and Inspections: September 2018

| Audit/Inspection | Source Title  | Date           | Number of Actions | Number Open | Number Closed | Number on Target | Number At Risk | Number Overdue |
|------------------|---|----------------|-------------------|-------------|---------------|------------------|----------------|----------------|
| Inspection-HMIC  | National Child Protection 2015  | August 2015    | 8                 | 1           | 7             | 0                | 1              | 0              |
| Inspection-HMIC  | Stolen freedom: the policing response to modern slavery and human trafficking | October 2017   | 7                 | 1           | 6             | 0                | 1              | 0              |
| Inspection-HMIC  | PEEL Effectiveness 2017   | September 2017 | 23                | 23          | 0             | 0                | 23             | 0              |
| Inspection-HMIC  | Additional PEEL Efficiency, Legitimacy, Leadership Actions 2017               | 2017           | 7                 | 7           | 0             | 0                | 7              | 0              |
| Inspection-HMIC  | Progress Report on Domestic Abuse   | Jan 2018       | 2                 | 0           | 2             | 0                | 0              | 0              |
| Inspection-HMIC  | Hate Crime Thematic   | 2018           | 15                | 15          | 0             | 15               | 0              | 0              |
| Inspection-HMIC  | PEEL Legitimacy inc Leadership 2017   | 2017           | 4                 | 4           | 0             | 0                | 4              | 0              |
| Inspection-HMIC  | PEEL Vulnerability Re Visit 2017  | 2017           | 9                 | 9           | 0             | 0                | 9              | 0              |
| Inspection-HMIC  | PEEL Effectiveness National Report  | 2018           | 3                 | 3           | 0             | 3                | 0              | 0              |
| Inspection-HMIC  | PEEL Efficiency 2017  | 2017           | 2                 | 2           | 0             | 2                | 0              | 0              |
| IPCC             | Use of Force Report   | September 2016 | 15                | 2           | 13            | 0                | 2              | 0              |
| IPCO             | IPCO Inspection   | December 2017  | 2                 | 1           | 1             | 0                | 1              | 0              |



## **Appendix 2 - Nottinghamshire Police's Approach to tackling Domestic Abuse: Outstanding Recommendation**

### **Area Identified for further scrutiny –**

The area identified by the Chair of the Panel for further scrutiny this period is Nottinghamshire Police's approach to tackling Domestic Abuse which was a local HMIC Inspection completed in 2014. The key reason for this choice was to gain assurance of progress against key actions. The outstanding recommendation identified that the force should have a stronger, more formalised process on prevention, identification and management of serial and serious perpetrators, with clear responsibility and actions for officers, including how partner agencies will work with the police to reduce re-offending.

This recommendation was linked to national work which, at the time of the recommendation, was identified as on-going. After completion, the force then undertook to bring the Domestic Violence (DV) cohort into the Integrated Offender Management (IOM) process, so that Nottinghamshire would have a stronger focus on repeat victims and serial perpetrators.

### **Update**

Since October 2017 Nottinghamshire IOM have developed a cohort of high risk serial DV perpetrators. Offenders are selected using the current academic leading tool – the Priority Perpetrator Identification Tool (PPIT).

IOM currently manages 45 of the highest risk serial DV perpetrators using the standard IOM mechanisms and processes, but with the additional resources of embedded IOM Independent Domestic Violence Advisors (IDVAs) and expert consultation on all Offender Management decisions from the Domestic Abuse Support Unit.

The scheme was developed in 2017 in full consultation with all Offender Management and Domestic Abuse services and since its inception has been very successful. We are able to tailor measures such as licence conditions, prison releases, and community offender management to ensure that the risks posed by these people are significantly reduced.

As the risk levels are reduced through tried and tested IOM tactics (daily risk assessment, weekly case reviews, prison release and licence planning etc.) they can be removed from this cohort (with the consent of all agencies), to be replaced by those whose current risk requires that level of resource heavy management.

IOM IDVAs have received 131 referrals for survivors linked to this cohort and have identified 152 children at risk through their association with these perpetrators. The scheme has also been successful in achieving engagement with offenders to undertake rehabilitative programmes as part of their licences.

The scheme sits alongside and complements existing DV measures to deliver a greater level of safety for the survivor through intensive management of the perpetrator.